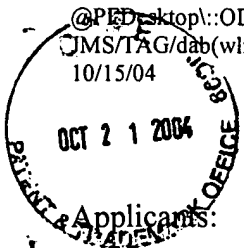


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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:

J. Thomas Fowler, Allan Chertok, Darrell J. King, Gerald R. Larocque,  
Per Onnerud and Jay J. Shi

Application No.: 10/717,207                      Group Art Unit: 2838  
Filed: November 19, 2003                      Examiner: Not assigned  
Confirmation No.: 6009

Title: BIDIRECTIONAL POWER CONVERTER FOR BALANCING STATE OF  
CHARGE AMONG SERIES CONNECTED ELECTRICAL ENERGY  
STORAGE UNITS

<b>CERTIFICATE OF MAILING OR TRANSMISSION</b>	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or is being facsimile transmitted to the United States Patent and Trademark Office on:	
10-19-04	<i>Donna Bartalone</i>
Date	Signature
<i>Donna Bartalone</i>	
Typed or printed name of person signing certificate	

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or  
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or  
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).
- ☐ under 37 CFR 1.97(c) together with either:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, or
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, and
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)
- ☐ under 37 CFR 1.97(i):  
Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.  
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
- ☒ Copies of the cited references are enclosed.
- ☐ Since this application was filed after June 30, 2003, copies of issued U.S. patents and published U.S. applications are not required and are not being provided.
- ☐ Copies of the cited references are enclosed except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
- ☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
- ☒ The "concise explanation" requirement (non-English references) for references AO3, AQ3 under 37 CFR 1.98(a)(3) is satisfied by:
- ☐ the explanation provided on the attached sheet.
- ☐ the explanation provided in the Specification.
- ☐ submission of the enclosed International Search Report.
- ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
- ☒ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:

Examiner's  
Initials

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_  
Examiner

\_\_\_\_\_  
Date

- ☐ A copy of each above-cited application, including the current claims, is enclosed.
- ☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

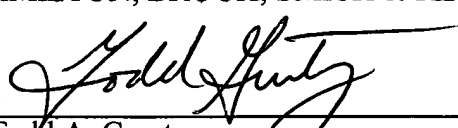
Method of payment:

- ☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.
- ☐ Please charge Deposit Account 08-0380 in the amount of \$[ ]. A copy of this Statement is enclosed.
- ☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

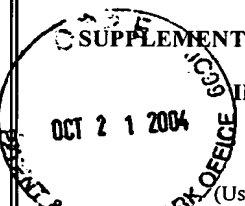
HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By

  
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Concord, MA 01742-9133

Dated: 10/18/04

PTO-1449 REPRODUCED		ATTORNEY DOCKET NO. 3556.1000-004		APPLICATION NO. 10/717,207	
 <p><b>SUPPLEMENTAL INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b></p> <p>October 12, 2004</p> <p>(Use several sheets if necessary)</p>		FIRST NAMED INVENTOR J. Thomas Fowler		FILING DATE November 19, 2003	
		EXAMINER Not assigned		CONFIRMATION NO. 6009	

## U.S. PATENT DOCUMENTS

EXAM- INER INI- TIAL	REF. NO.	DOCUMENT NUMBER Number-Kind Code (if known)	ISSUE DATE / PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT
	AA	1,325,994	12-23-1919	Perkins
	AB	2,142,377	01-03-1939	Roth
	AC	2,238,171	04-15-1941	Johnson, <i>et al.</i>
	AD	2,345,159	03-28-1944	Schroter, <i>et al.</i>
	AE	3,077,548	02-12-1963	Moressee, <i>et al.</i>
	AF	5,438,250	08-01-1995	Retzlaff
	AG	5,656,915	08-12-1997	Eaves
	AH	6,008,623	12-28-1999	Chen, <i>et al.</i>
	AI	6,157,167	12-05-2000	Schwartz, <i>et al.</i>
	AJ	6,239,579 B1	05-29-2001	Dunn, <i>et al.</i>
	AK	6,278,604 B1	08-21-2001	Patel, <i>et al.</i>
	AA2	6,285,161 B1	09-04-2001	Popescu
	AB2	6,288,521 B1	09-11-2001	Meador
	AC2	6,337,555 B1	01-08-2002	Oh
	AD2	6,329,796 B1	12-11-2001	Popescu
	AE2	6,351,097 B1	02-26-2002	Oh
	AF2	6,356,055 B1	03-12-2002	Lin, <i>et al.</i>
	AG2	6,369,546 B1	04-09-2002	Canter
	AH2	6,441,583 B1	08-27-2002	Perelle
	AI2	6,504,344 B1	01-07-2003	Adams, <i>et al.</i>
	AJ2	6,518,725 B2	02-11-2003	Marten
	AK2	2002/0047685 A1	04-25-2002	Perelle
	AA3	2002/0167294 A1	11-14-2002	Odaohhara
	AB3	2002/0190692 A1	12-19-2002	Marten
	AC3	2002/0195994 A1	12-26-2002	Perelle
	AD3	2003/0139888 A1	07-24-2003	Burns

EXAMINER	DATE CONSIDERED
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PTO-1449 REPRODUCED  <b>SUPPLEMENTAL INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <b>October 12, 2004</b>  (Use several sheets if necessary)	ATTORNEY DOCKET NO. 3556.1000-004		APPLICATION NO. 10/717,207	
	FIRST NAMED INVENTOR J. Thomas Fowler		FILING DATE November 19, 2003	
	EXAMINER Not assigned		CONFIRMATION NO. 6009	GROUP 2838

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER Country Code-Number-Kind Code (if known)	DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT	TRANSLATION YES NO	
	AM	2000-193694	07-14-2000	Denso Corp.	X	
	AN	2001-136669	05-18-2001	Toyotal Central Res. & Dev. Lab Inc.	X	
	AO	2001-325994	11-22-2001	Matsushita Electric Ind. Co. Ltd.	X	
	AP	2002-238171	08-23-2002	Alcatel	X	
	AQ	2002-345159	11-29-2002	International Business Mach. Corp.	X	
	AL2	2003-77548	03-14-2003	Takei Toshitaka	X	
	AM2	10-084627	03-31-1998	Honda Motor Co., Ltd.	X	
	AN2	11-103534	04-13-1999	Mitsubishi Motors Corp.	X	
	AO2	WO 01/56062 A2	08-02-2001	Semtech New York Corporation		
	AP2	WO 02/080332 A1	10-10-2002	Signline Limited		
	AQ2	WO 02/09223 A1	01-31-2002	O2 Micro, Inc.		
	AL3	WO 02/093712 A2	11-21-2002	Invensys Energy Systems (NZ) Limited		
	AM3	WO 02/23664 A1	03-21-2002	02 Micro, Inc.		
	AN3	EP 0 863 598 A1	09-09-1998	Northrop Grumman Corporation		
	AO3	EP 0 958 634 B1	02-06-2002	Technopuce International (claims in English)		X
	AP3	EP 1 014 533 A2	06-28-2000	Space Systems/Loral, Inc.		
	AQ3	EP 1 158 647 A1	11-28-2001	Agence Spatiale Europeenne (Abstract)		X
	AL4					
	AM4					
	AN4					

EXAMINER	DATE CONSIDERED
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